



STATE OF IOWA

THOMAS J. VILSACK
GOVERNOR
SALLY J. PEDERSON
Lt. Governor

IOWA UTILITIES BOARD
IOWA DEPARTMENT OF COMMERCE

December 1, 2005

Dear Vendor:

The Iowa Utilities Board (IUB) is seeking information to determine what types of solutions are the most feasible and cost effective for a system for receipt and management of documents and files submitted electronically (electronic submission).

Proposed questions are listed in the Request for Information (RFI); however, in addition to answering these questions, vendors are encouraged to provide additional information and suggest alternatives as deemed appropriate according to industry best practice and the vendor's industry knowledge and expertise.

In order to make decisions on future steps in this procurement process, the IUB requests that responses to this RFI be received before 4:00 PM, Central Standard Time on Thursday, January 5, 2006.

Responses shall be submitted in PDF format and sent using electronic mail, unless they contain confidential information. If a vendor has multiple solutions, separate responses shall be submitted. Send questions or responses to:

IUBSurveys@iub.state.ia.us, making sure to include
"NOI-05-1: Request for Information" in the subject line.

Responses containing confidential information shall NOT be filed via electronic mail but shall be mailed or delivered so they are received by the response deadline. Submit hard copy responses to:

NOI-05-1: Request for Information
Records and Information Center
Iowa Utilities Board
350 Maple Street
Des Moines, IA 50319-0069

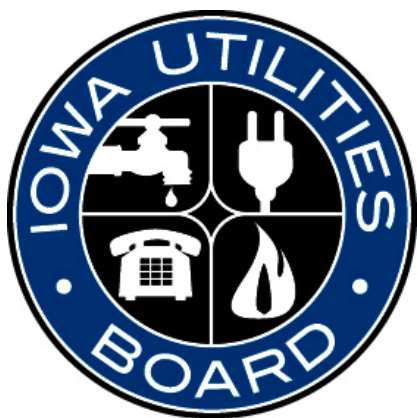
Conclusions or decisions resulting from this RFI will generally not be distributed at the end of the RFI process. Responses will be used to build and fine-tune any Request for Proposal for a system for electronic document submission.

Sincerely,
Margaret Munson
Deputy Executive Secretary
Iowa Utilities Board
350 Maple Street
Des Moines, IA 50319-0069
phone: (515) 281-7716
fax: (515) 281-5329
email: margaret.munson@iub.state.ia.us

Iowa Utilities Board

Request for Information Electronic Submission and Management of Documents and Files

December 1, 2005



Margaret Munson
Deputy Executive Secretary
Iowa Utilities Board
350 Maple Street
Des Moines, IA 50319-0069
phone: (515) 281-7716
fax: (515) 281-5329
email: margaret.munson@iub.state.ia.us

Table of Contents

1	General Information	1
1.1	Submission of questions.....	1
1.2	Submission of responses.....	1
1.3	Response format	2
1.4	Vendor presentation	2
1.5	Cost of preparing a response	2
1.6	General terms and conditions.....	2
1.7	Requests for confidential treatment	3
2	Overview.....	4
2.1	Document overview	5
2.1.1	Document estimates.....	6
2.1.2	Volume estimates	6
2.2	Pilot projects	6
2.3	Existing infrastructure and technology	7
2.3.1	IUB dedicated equipment	7
2.3.2	Development environment.....	7
2.3.3	Desktop hardware	7
2.3.4	Desktop software.....	7
2.3.5	Information Technology Department	7
3	Vendor Response.....	7
3.1	Section 1 - Executive summary	7
3.2	Section 2 - Vendor profiles	7
3.3	Section 3 – Proposed solution	8
3.4	Features, requirements, and options	8
3.5	General questions	9
3.6	Technologies	10
3.7	Operations	11
4	Additional Vendor Comments.....	11

1 General Information

The Iowa Utilities Board (IUB) is seeking information from Vendors who are capable of and interested in providing information (including costs) on, and a demonstration of, a cost-effective solution for receipt, storage, indexing, and retrieval of documents electronically submitted (electronic submission) to the IUB by utility companies and other interested parties. Currently, documents are submitted on paper by mail or delivery to the IUB Records and Information Center. A subsidiary goal is to receive information on the management and workflow of electronic documents and files. After review of the information gathered through this Request for Information (RFI), a return on investment analysis will be done, a project schedule set, and a budget established. In this RFI, the IUB is requesting that vendors provide information to help develop an understanding of electronic document submission and management and the potential solutions, their components, and hardware requirements that complement existing infrastructure.

This RFI will be used as a vehicle to educate the IUB, to obtain information about electronic document submission and records management systems and practices, and to identify potential suppliers and system integrators. This RFI and any future vendor presentations do not imply any form of an agreement with candidate suppliers. Responses to this RFI will be used to build and fine-tune any future Request for Proposal.

1.1 Submission of questions

If you have questions about this RFI, please submit them to the IUB in writing, preferably via electronic mail. All responses to questions will be posted on the IUB Web site. No vendor names will be included in the questions and answers posted to the Web site. The deadline for submission of questions is 4:00 pm, CST, December 14, 2005. Submit your questions to:

IUBSurveys@iub.state.ia.us, making sure to include
"NOI-05-1: Request for Information" in the subject line.

1.2 Submission of responses

Vendor responses are due by 4:00 pm CST, January 5, 2006. Responses shall be submitted in PDF format and sent using electronic mail, unless they contain confidential information. If a vendor has multiple solutions, separate responses are to be submitted. Send your response to:

IUBSurveys@iub.state.ia.us, making sure to include
"NOI-05-1: Request for Information" in the subject line.

Responses containing confidential information shall NOT be filed via electronic mail but shall be mailed or delivered so they are received by the response deadline. For more information about how to submit a response that contains confidential information, see RFI section 1.7.

Submit hard copy responses to:

NOI-05-1: Request for Information
Records and Information Center
Iowa Utilities Board
350 Maple Street
Des Moines, IA 50319-0069

1.3 Response format

The responses shall be submitted in the following format. (See Section 3)

- Section 1 – Executive summary
- Section 2 – Vendor profile
- Section 3 – Proposed solution
- Section 4 – Features and requirements

1.4 Vendor presentation

Vendors may be invited to give a presentation at a time and date to be determined after review of the responses.

1.5 Cost of preparing a response

The IUB is not responsible for any costs incurred by the vendor in the RFI response preparation or presentation.

1.6 General terms and conditions

- The State of Iowa is not obligated to any course of action as the result of this RFI. Issuance of this RFI does not constitute a commitment by the IUB to issue a Request for Proposal or to award any contract.
- Information submitted in response to this RFI will become the property of the IUB.
- The IUB will not pay for any information herein requested, nor will it be liable for any other costs incurred by any respondent related to the preparation or delivery of the response to this RFI or any subsequent presentation.
- The IUB reserves the right to modify this RFI at any time.
- By submitting a response, the Vendor agrees that the IUB may copy the response information for purposes of facilitating review or to respond to

requests for public records. The Vendor consents to such copying by submitting a response and warrants that such copying will not violate the rights of any third party. The IUB will have the right to use ideas or adaptations presented in the responses.

- The IUB reserves the right to reject any and all responses to this RFI, in whole and in part, at any time. This RFI is designed to provide Vendors with the information necessary for the preparation of informative response proposals and demonstrations of product. This RFI process is for the IUB's benefit and is intended to provide the IUB with competitive information to assist in defining criteria for possible future selection of goods and services. The RFI is not intended to be comprehensive and each Vendor is responsible for determining all factors necessary for submission of a comprehensive response and a complete product capability demonstration. The RFI response and demonstration will not be subject to a Request for Proposal (RFP) type evaluation but only to a review of suggested product performance, cost of processes offered, and abilities to perform services that may be of use to the IUB. Cost may be estimated by the Vendor. If an estimated cost is submitted, the Vendor shall state that it is an estimated or approximate cost.

1.7 Requests for confidential treatment

The release of information by the IUB to the public is subject to Iowa Code Chapter 22 or other applicable statutes. Certain information deemed confidential by Board rule is described in 199 Iowa Administrative Code 1.9(5). Vendors are encouraged to familiarize themselves with these provisions prior to submitting an RFI response. The IUB will treat all information submitted by a Vendor as public information unless the Vendor properly requests that information be treated as confidential at the time of submitting the response.

Any requests for confidential treatment of information must be included in a cover letter with the Vendor's RFI response. This letter must enumerate the specific grounds in Iowa Code Chapter 22 or other applicable statutes that support treatment of the material as confidential and must indicate why disclosure is not in the best interests of the public. The request must also include the name, address, and telephone number of the person authorized by the Vendor to respond to any inquiries concerning the confidential status of the materials.

A request for confidentiality must include the legal basis for withholding the materials from public inspection and the facts relied upon in support of the legal basis. The request for confidentiality must be supported by an affidavit executed by a corporate officer or by an individual with personal knowledge of the specific facts. If the materials are requested to be withheld from public inspection for only a limited period of time, the period must be specified. Any documents submitted that contain confidential information must be marked on the outside as containing confidential information. Each page upon which confidential information appears

must be marked as containing confidential information. The confidential information must be clearly identifiable to the reader wherever it appears.

All materials which are requested to be held confidential are to be marked confidential, physically separated from the request for confidentiality and all other materials to which the request does not apply, and sealed in a separate envelope marked confidential. If only a particular item or items on a page are deemed confidential, the page should also be filed with the confidential item or items removed. In their place should be the word confidential in bold type. The pages with the confidential item or items removed will be made available for public inspection.

The confidential material must be excised in such a way as to allow the public to determine the general nature of the material removed and to retain as much of the document as possible

The Vendor's failure to request confidential treatment of material pursuant to this section and the relevant statutes and administrative rules will be deemed by the IUB as a waiver of any right to confidentiality which the Vendor may have had.

2 Overview

The IUB, an independent division of the Iowa Department of Commerce, regulates the rates and services of public utilities providing electricity, natural gas, telecommunications, and water in the state. The Iowa Utilities Board is a quasi-judicial agency consisting of three full-time Board members who are appointed by the Governor and a professional staff of seventy-two. For FY06, the IUB operating budget is \$7.6 million.

Iowa has two investor-owned electric utilities, MidAmerican Energy Company and Interstate Power and Light Company subject to Board jurisdiction. Together these companies serve more than one million electric customers in Iowa. There are 137 municipal electric utilities that are regulated in service matters only, as specified by statute. Forty-seven rural electric cooperatives (RECs) are regulated for service and have the option of choosing to be regulated for rates. Linn County REC is the only REC that has opted to have the IUB set its rates.

The IUB has general jurisdiction over natural gas utilities. The IUB regulates the rates and services of four investor-owned gas utilities: MidAmerican Energy Company, Aquila Inc., Interstate Power and Light Company, and Atmos Energy Corporation. The IUB also regulates certain areas of gas service provided by 51 municipal utilities.

The IUB approves and monitors utility energy efficiency plans.

Also included in the IUB's jurisdiction is certification of electric power generators, certification of natural gas marketers, certification of telecommunications providers, issuance of franchises for electric transmission lines, supervision of intrastate pipelines, and the authority to implement certain controls over the transportation of natural gas and hazardous liquids through interstate pipelines to protect landowners and tenants from environmental or economic damages.

The IUB has general regulatory authority over intrastate telecommunications. The IUB regulates service of the three largest local exchange carriers: Qwest Corporation, Iowa Telecommunications Services, Inc., and Frontier Communications of Iowa, Inc, and is monitoring rates as rate deregulation is phased in for Iowa. It regulates only the service, and not the rates, of over 200 independent and competitive local exchange service providers. In addition, under both state and federal statute, the IUB has authority to resolve certain disputes between utilities.

The IUB regulates the rates and services of one investor-owned water utility, Iowa-American Water Company. The IUB does not regulate municipally- owned waterworks or small investor- owned water utilities.

The IUB administers a telecommunications relay service to allow communication-impaired persons to use the telephone. It also administers an equipment distribution program to provide eligible persons with telecommunications devices for the deaf.

The IUB issues pipeline permits, electric line franchises, and electric generation certificates authorizing the construction of new utility infrastructure. Staff inspects utility facilities for compliance with safety and service quality objectives and acts as an agent for the federal Department of Transportation in pipeline safety matters.

The agency intervenes in federal regulatory cases affecting Iowa customers and represents Iowa's interests in national and regional activities involving the utility industry.

In addition, the IUB assists the public in various ways, including responding to thousands of customer calls and letters each year, creating and distributing informational brochures, conducting public comment hearings, and working with members of the media.

2.1 Document overview

Currently, there are thousands of paper documents stored on-site and at the state records center or archives. Most of these documents are originals and are considered vital records. Many of these documents have a long-term or permanent retention. Some of the documents have accompanying electronic

information provided on diskette or CD in a variety of formats. Sound recordings or digital sound recordings may also accompany some documents.

Most documents are grouped by docket. Each docket may have multiple documents from multiple sources filed at the same or different times. Each docket may have a variety of types of information – text, data, diagrams, maps, computer models, video, sound, etc. For paper documents, pages are primarily letter-sized but may be blueprint-sized or larger.

2.1.1 Document estimates

- Most of the documents are received in paper.
- Most of the documents received are computer generated or typed.
- Most of the documents are letter size.
- Most of the paper documents are in good condition.
- Most of the documents are of standard weight paper.
- Many of the documents are portrait orientation.

2.1.2 Volume estimates

- Nearly 5,000 documents were either filed with or issued by the IUB in 2004.
- Over 60,000 pages of filed and issued documents were added to files in 2004.
- Document and page counts were similar for 2002 and 2003.
- During the period 2002-2004, twenty-two documents longer than 1,000 pages were filed with the IUB.
- During the period 2002-2004, over 400 documents with more than 100 pages but less than 1,000 pages were filed with the Board.
- Staff work products other than orders are not included in the page count but are retained in the case files in the office and state records center or archives and would be included in electronic submission system.
- The IUB has approximately 1,800 linear feet of letter-sized files stored on site. Archived records include over 1,400 standard-sized file boxes.

The documents accessed most frequently are pending cases of all types, followed by closed files for rate cases, board orders, and annual reports filed by the companies. There is a non-trivial need to retrieve some specific types of records that are 25 to 50 years old.

2.2 Pilot projects

No pilot projects for electronic document submission or management have been undertaken to date. It is anticipated that one or more types of proceedings and all the accompanying documents and work products will be selected as a pilot once a system has been selected.

2.3 Existing infrastructure and technology

The IUB anticipates that additional server resources will be needed as part of this project.

2.3.1 IUB dedicated equipment

The IUB has a Local Area Network running Novell NetWare 6.5 and Microsoft Windows NT servers. The Windows servers will be updated to Windows 2003 server in the near future. Electronic mail is provided by the Iowa Information Technology Enterprise on a Microsoft Windows 2003 server running Microsoft Exchange 2003. All IUB servers are backed up to tape daily.

2.3.2 Development environment

The IUB currently has some databases in Microsoft SQL 7 and is in the process of updating to Microsoft SQL 2000.

2.3.3 Desktop hardware

The desktop computers the IUB currently uses are Pentium 4, 2.8 GHz or higher, with 732 MB RAM or more. All have 40 GB or more storage space on the local hard drives. Some staff regularly use notebook computers that are Pentium III, 1.0 GHz, 392 MB RAM, with 20 GB hard drives. Users are strongly encouraged to store or back up all their data on the Local Area Network.

2.3.4 Desktop software

The IUB currently uses desktop computers with Windows 2000 Professional SP4 or Windows XP Professional SP2 and MS Office Professional 2000.

2.3.5 Information Technology Department

The State of Iowa Technology Governance Board oversees all large state government technology projects to help assure interoperability, compatibility, and compliance with standards.

3 Vendor Response

Responses should consist of four sections. Each section is described below.

3.1 Section 1 -- Executive summary

Vendors shall provide an executive summary written in non-technical language to summarize the overall capability and approaches for implementing an electronic document submission and management system. The vendor is encouraged to limit the summary to three pages or less.

3.2 Section 2 -- Vendor profiles

Vendors shall include a brief synopsis of their company history, background, market share, target market and industries. Specific experiences with implementations similar to IUB should be included in this section.

If the vendor anticipates sub-contractors will be used, a brief description should be included on the type of service those sub-contractors would be providing. It is not necessary to provide specific profiles. If the vendor recognizes services that would be essential to the implementation, but believes it to be outside the scope of this RFI, a description of all such services should be included in this section.

3.3 Section 3 -- Proposed solution

Vendors shall provide their proposed solution. The proposal should make high-level recommendations specific to the IUB installation.

The solution should be presented in the following order:

1. Software
 - a. Features
 - b. Components (recommended and optional)
 - c. Integrated third party
 - d. Internal work flow as a separate and separable component
2. System administration
 - a. Document receipt, acceptance, and management
 - b. Database
 - c. Internal work flow as a separate and separable component
3. Hardware (note existing or new procurement)
4. Project management
 - a. Project plan
 - b. Maintenance
 - c. Support
 - d. Upgrades
 - e. Development and customization
5. Training and documentation
6. Conversion
 - a. Current documents forward
 - b. Five years of past documents
 - c. Ten years of past documents
7. Estimate of resources required
8. Projected timeframe for implementation
9. Total cost (estimated range)

3.4 Section 4 -- Features, requirements, and options

The IUB has identified specific desirable features, requirements, and options. The vendor should complete this section and make comments as necessary on a separate page referring to the line number. The vendor may make additions to the list as appropriate to provide a complete response. The IUB realizes that given enough time, money, resources, and talent most anything can be accomplished. If a feature or a requirement is unrealistic, costly, lacks vision or will require extensive development time, the vendor is encouraged to note this.

The section is not intended to narrow the potential solutions, but rather to help build realistic expectations for a timely implementation at an affordable price.

The solution must have:

1. Ease of document preparation and submission.
2. Security.
3. Authentication of source of submission.
4. Non-repudiation.
5. Easy, public and controlled, Web-based access to documents after submission.
6. Acknowledgement of receipt of documents.
7. Ability to group documents by docket, by date, by type of document, etc.
8. Ability to download documents.
9. Ability to manipulate data, retain formulae, run models.
10. Ability to retain and use documents for as much as 100 years.
11. Ability to be useable through dial-up or other slow connections.
12. Ability to track time and date of submission.
13. Cross-browser compatibility.

Desired add-ons:

1. Full text search.
2. Ability to download information – grouped or by document.
3. Capability for internal workflow and document management.
4. Capability to process confidential information.
5. Subscription notification of filings by docket, by date, by type of document, etc.
6. Automated distribution of materials to designated (generally on a per-docket basis) external and internal customers.

3.5 General questions

1. Please provide the name, address, phone number, and email address for your corporate point of contact on this RFI.
2. What current experience does your company have with electronic document submission and management systems?
3. Is your company interested in participating in an RFP for electronic filing services in Iowa if the IUB decides to issue a RFP?
4. Do you have what could be considered a “total solution” that would meet the IUB's long-term system objectives? If not, please describe the niche service you would provide.
5. Iowa may require the vendors to bid a price for installing the electronic filing on State-owned hardware (with a facilities maintenance

component). What are the advantages or disadvantages, from the perspective of your company, to this approach?

3.6 Technologies

1. Please describe the model for security and encryption, including authentication and non-repudiation, for your electronic submission system. Include description of the technical environment necessary for compliance (e.g. processing platform, switch vendors, web portals, etc.).
2. What capabilities does your system have for filing, linking, and tracking electronic submission of related or un-related documents?
3. What capabilities does your system have for long-term storage and retrieval?
4. What capabilities does your system maintain for acknowledgement of receipt of documents and for notification to others that new filings have been received?
5. What capabilities does your system have for automated distribution of documents externally and internally to a set of users specific to the document or docket?
6. Does your system have the capability to receive and process diverse information types, such as maps, sound files, diagrams, drawings, etc.?
7. What additional solution(s) would your company recommend for receiving, indexing, storing, and retrieving electronic documents?
8. Describe any new or impending features to your services that may be considered desirable to the State of Iowa.
9. What is the operational platform of your electronic submission system (e.g., Unix, Windows, Linux, etc.)?
10. Where is your electronic submission system being used in a regulatory or utility environment?

3.7 Operations

1. Please provide electronic document and file submission and management recommendations (based on industry best practices) that your company views to be beneficial to the State of Iowa.
2. Please provide sample timetables for implementation of an electronic document submission system based upon your company's experience in design, development, and implementation of system enhancements or system replacements.
3. What type of contracting incentives would make the Iowa contract attractive to your company?
4. What type of contracting hindrances would make the Iowa contract less attractive to your company?
5. Based on your industry experience, does your company have a preference for length of contract, set-up for option year(s), etc.?

4 Additional Vendor Comments

As part of your response to this RFI, please feel free to include any additional comments or suggestions that your company believes would be helpful to the IUB.